

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Ronald E. Sloan	
Serial No.:	09/927,560	Conf. No.: 6833
Filing Date:	August 10, 2001	Group Art Unit: 3693
Title:	FINANCIAL MODELING AND COUNSELING SYSTEM	Examiner: Jocelyn Greimel
Docket No:	60021-375502	

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED FILING RECEIPT

Dear Sir:

Please amend the Domestic Priority data to read as follows:

This application is a CON of 09/705,154 11/01/2000

and is a CIP of 09/431,389 11/01/1999

and is a CIP of 09/580,276 05/25/2000

Attached for your reference, are copies of the following:

1. A red-lined Filing Receipt showing the above-identified correction;
2. A copy of the first two pages of the Preliminary Amendment filed November 12, 2001;
3. A copy of the Facsimile Transmittal dated November 12, 2001; and
4. A copy of the return postcard date stamped January 23, 2002 by the USPTO.

If any fees are due in connection with the filing of this paper, then the Commissioner is authorized to charge such fees, including fees for any extension of time, to Deposit Account No. 50-1901 (Docket 60021-375502).

Respectfully submitted,

By: 

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UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/927,560	08/10/2001	2164	930	60021-375502	17	25	3

29838
OPPENHEIMER WOLFF & DONNELLY, LLP (ACCENTURE)
1400 PAGE MILL ROAD
PALO ALTO, CA 94304

CONFIRMATION NO. 6833
UPDATED FILING RECEIPT



OC00000008042317

Date Mailed: 05/07/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Ronald E. Sloan, Toronto, CANADA;
Stephen B. Slutsky, Toronto, CANADA;

Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/705,154 11/01/2000
AND IS A CIP OF 09/431,389 11/01/1999

AND IS A CIP OF 09/580,276 05/25/2000

Foreign Applications

If Required, Foreign Filing License Granted 09/10/2001

Projected Publication Date: 08/15/2002

Non-Publication Request: No

Early Publication Request: No

Title

Financial modeling and counseling system

Preliminary Class

OPPENHEIMER WOLFF & DONNELLY LLP
DATE 05/07/2002

MAY 20 2002

DOC.# 60021-375502
CAL'D

FILED ☐ OMM ☐ OLB/njc

705

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

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This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

THE STAMP OF THE U.S. PATENT AND TRADEMARK OFFICE No. 60021.375502
HEREON ACKNOWLEDGES RECEIPT OF THE FOLLOWING: **Preliminary Amendment**
Applicant(s)/Patentee(s): **Sloan et al.**
Serial No./Patent No.: **09/927,560**
Filed/Issued: **August 10, 2001**
For: **FINANCIAL MODELING AND COUNSELING SYSTEM**
Enclosed:
☒ **X Amendment Transmittal**
☒ **X Preliminary Amendment**

Date: November 12, 2001
Initials: RN/ym

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HEREON ACKNOWLEDGES RECEIPT OF THE FOLLOWING: **Preliminary Amendment**
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Date: November 12, 2001
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SV: 234898 v01 11/12/200

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

SLOAN et al.

Application No.: 09/927,560

Filed: August 10, 2001

For: FINANCIAL MODELING AND COUNSELING
SYSTEM

Attorney Docket No.: 60021.375502

Examiner: Unassigned

Group Art Unit: Unassigned

Date: November 12, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, Washington, DC 20231 on November 12, 2001.

Signed: 

Yvonne Mock

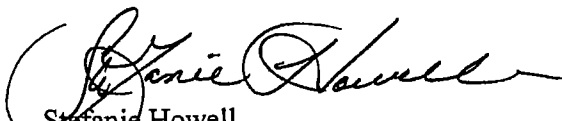
Commissioner of Patents

Box: New Applications and Associated Papers and Fees
Washington, DC 20231

Sir:

Transmitted via facsimile herewith is a preliminary amendment in the above-identified application.

- ☒ Applicant(s) believe that no (additional) Extension of Time is required; however, if it is determined that such an extension is required, Applicant(s) hereby petition that such an extension be granted and authorize the Commissioner to charge the required fees for an Extension of Time under 37 CFR 1.136 to Deposit Account No. 02-3964.
- ☒ If the required fees are missing or any additional fees are required to facilitate filing the enclosed response, please charge such fees or credit any overpayment to Deposit Account No. 02-3964 (Order No. 60021.375502). A copy of this sheet is enclosed.

Respectfully submitted,
OPPENHEIMER WOLFF & DONNELLY, LLP
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(Revised 1/96)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Sloan et al.

Docket No.: 60021-375502

Serial No.: 09/927,560

Group Art Unit: Unassigned

Filing Date: August 10, 2001

Examiner: Unassigned

For: **FINANCIAL MODELING AND COUNSELING SYSTEM**

Box New Applications and Associated Papers and Fees
Assistant Commissioner for Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT

Sir:

Please amend the Application and consider the remarks as hereafter provided:

In the Specification:

Please delete the paragraph beginning on page 1, line 6 and replace with the following so that it reads:

RELATED APPLICATIONS

The present application is a continuation of a parent application serial number 09/705,154, filed November 1, 2000, entitled "FINANCIAL MODELING AND COUNSELING SYSTEM", of the assignee of the present invention,
5 incorporated herein by reference.

Furthermore, the present application is a continuation-in-part of U.S. application number 09/431,389 entitled "SYSTEM, METHOD AND ARTICLE OF

MANUFACTURE FOR A FINANCIAL MANAGEMENT AND ADVICE
GENERATING INFORMATION FRAMEWORK” filed November 1, 1999, and
U.S. application number 09/580,276 entitled “SYSTEM, METHOD AND
ARTICLE OF MANUFACTURE FOR GAUGING PAST, PRESENT AND
5 FUTURE PORTFOLIO PERFORMANCE IN A NETWORK BASED PERSONAL
INVESTMENT MANAGER” filed May 25, 2000 both of which we incorporated
herein by reference.

Please amend the paragraph starting on page 1, line 20 to read:

FIELD OF THE INVENTION

10 The present invention relates generally to computerized information systems
and more particularly to web-enabled computer implemented financial modeling
systems.

Please amend the specification starting on page 4, line 4 to read:

15

BACKGROUND OF THE INVENTION

Financially prudent individuals develop financial plans that aid them in
achieving their financial goals. Traditionally, many of these individuals have
entrusted their financial plans to personal financial advisors.

20

More recently, however, some individuals have increasingly relied upon
computer-based systems that organize their financial assets and liabilities and further
provide them with a summary of their financial health. However, these systems tend
to focus on the administrative aspects of financial planning without enabling the user